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PTO/SB/21 (6-98)  
Approved for use through 09/30/2000. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)	<b>Application Number</b>	09/412,020	
	<b>Filing Date</b>	October 6, 1999	
	<b>First Named Inventor</b>	Thomas W. Tripp	
	<b>Group Art Unit</b>	2761	
	<b>Examiner Name</b>	N/A	
<b>Total Number of Pages in This Submission</b>	9	<b>Attorney Docket Number</b>	13998-109

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request for Refund	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below): Change of Attorney's Address; Certificate of Mailing; and Postcard Receipt
<b>Remarks</b>		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
<b>Firm or Individual name</b>	Gerald E. Helget RIDER, BENNETT, EGAN & ARUNDEL
<b>Signature</b>	
<b>Date</b>	February 25, 2000

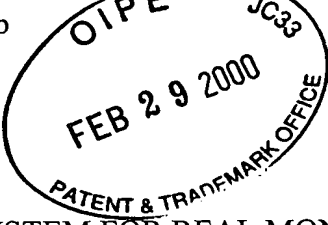
CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: 2/25/00			
<b>Typed or printed name</b>	Gerald E. Helget		
<b>Signature</b>		<b>Date</b>	2/25/00

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

265

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Re. Appln.: Thomas W. Tripp  
Serial No.: 09/412,020  
Filed: October 6, 1999  
For: SOFTWARE SYSTEM FOR REAL MONETARY INSTRUMENTS  
Group Art Unit: 2761  
7  
Attorney  
Docket No.: 13998-109  
Attorney: Gerald E. Helget  
Additional Fees: Charge to Deposit Account 50-1188



BOX MISSING PARTS  
Commissioner of Patents and Trademarks  
Washington, D.C. 20231

Sir:

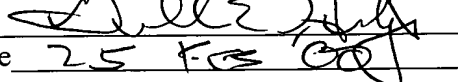
**RESPONSE TO MISSING PARTS OF APPLICATION**

This communication is filed in response to the Notice to File Missing Parts of Application, mailed January 7, 2000, a copy of which is enclosed herewith for reference.

Enclosed please find a Small Entity Verified Statement and Declaration by Small Business Concern signed and dated September 29, 1999. The Small Entity Statement was filed and made part of the application, and was acknowledged as being received by the Patent Office on the attached postcard receipts, which have the Patent Office date stamp affixed thereto.

**CERTIFICATE OF MAILING**

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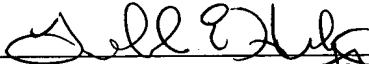
By   
Date 25 FEB 00

Because the Small Entity Verified Statement was filed and made a part of the application, Applicant believes the \$65.00 surcharge is not due and owing.

Should you have any questions or wish to discuss this matter further, you are invited to contact the undersigned.

Respectfully submitted,

Dated: 28 Feb 00

By   
Gerald E. Helget (Reg. No. 30,948)  
RIDER BENNETT EGAN & ARUNDEL  
2000 Metropolitan Centre  
333 South Seventh Street  
Minneapolis, MN 55402  
Telephone: (612) 340-8933



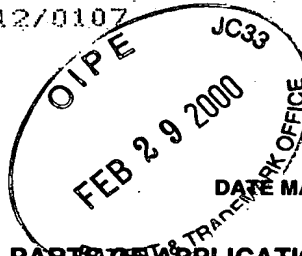
UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
09/412,020	10/06/99	TRIPP	T 90030-9

GERALD E. HELGET  
MACKALL CROUNSE & MOORE PLC  
1400 AT&T TOWER  
901 MARQUETTE AVENUE  
MINNEAPOLIS MN 55402

0212/0107



NOT ASSIGNED

2761

01/07/00

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**Filing Date Granted**

MPI 2-7-00  
MPN 3-7-00

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of \$65.00 for a small entity in compliance with 37 CFR 1.27, or \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☒ small entity (statement filed) ☐ non-small entity is \$ 65.00.

- ☐ 1. The statutory basic filing fee is:
- ☐ missing.
  - ☐ insufficient.

Applicant must submit \$\_\_\_\_\_ to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

- ☐ 2. The following additional claims fees are due:

\$\_\_\_\_\_ for \_\_\_\_\_ total claims over 20.

\$\_\_\_\_\_ for \_\_\_\_\_ independent claims over 3.

\$\_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

- ☒ 3. The oath or declaration:

☒ is missing or unsigned.

☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

- ☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

- ☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

- ☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

- ☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

- ☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

- ☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

*C. Brown*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

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03/06/2000 TLJW11  
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65.00 CH

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Re. Appln: Thomas W. Tripp  
Serial No.: Not yet assigned  
Filed: October 6, 1999  
For: SOFTWARE SYSTEM FOR REAL MONETARY INSTRUMENTS  
Attorney:  
Docket No. 90030-9  
Additional Fees: Charge to Deposit Account 50-0475

BOX PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

**SMALL ENTITY VERIFIED STATEMENT AND DECLARATION**  
**BY SMALL BUSINESS CONCERN**

A small entity status is hereby established in the application for U.S. Letters Patent herein identified for the purpose of paying fees, as follows:

The small business concern identified below makes the following verified statement on behalf of said small business concern: (1) avers that exclusive rights to the invention have been conveyed to and remain with said small business concern; (2) avers that said concern qualifies as a small business concern as defined in 37 C.F.R. § 1.9(d), and especially that the number of employees (as defined in said § 1.9(d)) of said concern including those of its affiliates (as defined in said § 1.9(d)), if any, does not exceed 500 persons; and (3) also avers that said concern has not assigned, granted, conveyed or licensed, and is under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any other person or concern; (4) and is signed by the owner or an official of said small business concern empowered to act on behalf of the concern.

Name of Concern: Real Monetary Systems, Inc.

Address of Concern: Suite A-310  
15300 37<sup>th</sup> Avenue North  
Plymouth, MN 55446

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Real Monetary Systems, Inc.

Dated: \_\_\_\_\_

7/29/99

By \_\_\_\_\_

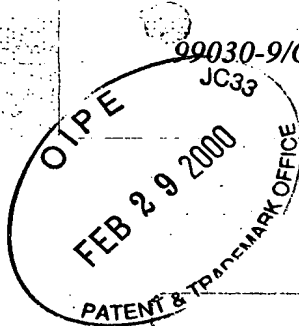
Thomas W. Tripp, President/CEO

Re Appln.: Thomas W. Tripp  
Serial No.: Not yet assigned  
Filed: October 6, 1999  
For: SOFTWARE SYSTEM FOR REAL MONETARY  
INSTRUMENTS



Receipt is hereby acknowledged by the U.S. Patent and Trademark Office for the following: Transmittal Cover Letter; Utility Patent Application Transmittal; Fee Transmittal FY 1999; Specification, Claims, and Abstract; Formal Drawings; Declaration and Power of Attorney for Original Application; Small Entity Verified Statement and Declaration by Small Business Concern; a check in the amount of \$536.00 (#44831) for the filing fee; Recordation Form Cover Sheet, Assignment and Check in the amount of \$40.00 (#44830); and Postcard Receipts for the above-referenced application.

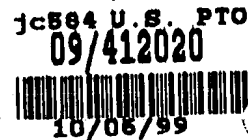
99030-9/October 6, 1999



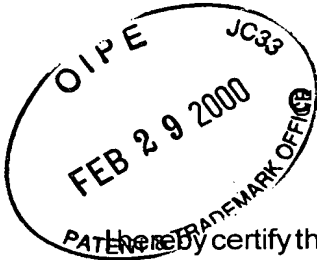
Re. Appln.: Thomas W. Tripp  
Serial No.: Not yet assigned  
Filed: October 6, 1999  
For: SOFTWARE SYSTEM FOR REAL MONETARY  
INSTRUMENTS

Receipt is hereby acknowledged by the U.S. Patent and Trademark Office for the following: Transmittal Cover Letter; Utility Patent Application Transmittal; Fee Transmittal FY 1999; Specification, Claims, and Abstract; Formal Drawings; Declaration and Power of Attorney for Original Application; Small Entity Verified Statement and Declaration by Small Business Concern; a check in the amount of \$536.00 for the filing fee; Recordation Form Cover Sheet, Assignment and Check in the amount of \$40.00; and Postcard Receipts for the above-referenced application.

99030-9/October 6, 1999  
MEJ/mej/539304.1



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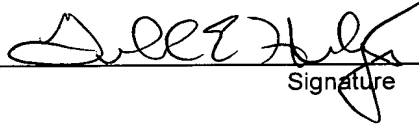


## Certificate of Mailing under 37 CFR 1.8

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Washington, D.C. 20231

on February 25, 2000  
Date

  
Signature

Gerald E. Helget

Typed or printed name of person signing Certificate

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

1. Transmittal Form (PTO/SB/21);
2. Response to File Missing Parts of Application; with Small Entity Verified Statement and postcard receipts attached;
3. Change of Correspondence Address; and
4. Postcard Receipt